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**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**  
**MISSION TO MALI AND THE WEST AFRICA REGIONAL PROGRAM**  
**Acquisition & Assistance Office**

**OPENING DATE: Thursday, February 6, 2002**  
**CLOSING DATE: Tuesday, April 8, 2003**

**SUBJECT: Request for Application (RFA) No. 688-03-012**  
**Cercle Level Health Program in Mali**

Dear Sir/Madam:

The United States (U.S.) Government, represented by the U.S. Agency for International Development Mission to Mali (USAID/Mali) is soliciting applications from U.S. private voluntary organizations, not-for-profit organizations, universities and other legal entities in the private sector with the requisite capability and experience to conduct a program aimed at supporting achievement of the goals described in the attached pages.

All readers are advised to read this RFA carefully. Numerous significant and material changes have been made from the released draft version of the RFA based in part on comments from interested parties.

If you decide to submit a proposal, it must be presented in accordance with the attached solicitation and received no later than 4:00 p.m. (1600 hours), local Bamako, Mali, time on the Closing Date indicated above at the place shown below. Proposals and modifications thereof, should be submitted with the name, street address, telephone number, internet email address of a point-of-contact who is an authorized agent of the offeror and Request for Proposal Number inscribed thereon, must be addressed to:

Marcus A. Johnson, Jr.  
Regional Agreement Officer

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Int'l Mailing Address: USAID/Mali  
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Bamako, Mali

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Rue Raymond Pointcarre & Rue 319  
Quartier du Flueve  
Bamako, Mali

Mission Website: <http://www.usaid.org.ml>

In recognition of the many changes in today's development assistance environment, and in the context of USAID's new Global Development Alliance (GDA), USAID/WARP strongly encourages (but does not require) the formation of public-private alliances in the implementation of its programs. Official U.S. Government assistance now accounts for only a minority share of the flow of resources from the United States to developing countries. Foundations, private companies, non-governmental organizations (NGOs) and others entities have become increasingly active in financing development efforts in West Africa and elsewhere, and they are often looking for synergies with other similar programs.

Organizations reviewing the Solicitation and considering submitting proposals in response to the Solicitation are specifically encouraged to consider on potential public-private alliance approaches. By "public-private alliance" USAID means proposals with material and significant non-federal resources offered in their proposals, in order to more fully address the development challenges in WARP as outlined in the solicitation. One criteria that the GDA Secretariat uses to define a "public-private alliance" is a least one-to-one leveraging of USAID's resources with additional non-federal resources. While it is not possible to apply this standard to all activities to be funded by USAID/ WARP, it is preferable whenever possible. Potential offerors are strongly encouraged to think innovatively and creatively about ways to draw forth significant non-federal resources, be they in cash or in kind, and to incorporate commitments to such resources into their proposals to USAID. Public-private alliances are expected to bring together a coalition of organizations and individuals who will jointly define a problem, situation, and solution, thereby capitalizing on the combine knowledge, skills and expertise of all partners.

Partners could include a wide range of organizations such as: foundations, U.S. and non-U.S. non-governmental organizations (NGOs), U.S. and non-U.S. private businesses, business and trade associations, international organizations, U.S. and non-U.S. colleges and universities, U.S. cities and states, other U.S. Government agencies, civic groups, other donor governments, host country governments, regional organizations, host country parastatals, philanthropic leaders including venture capitalists, public figures, advocacy groups, pension funds and employee-welfare plans, etc.

More information about USAID's Global Development Alliance can be found at <http://www.usaid.gov/gda>

The Recipient will be responsible for ensuring achievement of the program objective. Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

USAID anticipates making one award (Cooperative Agreements), each with a 3-year base period and two, one-year option periods for the program.

Subject to the availability of funds, USAID intends to provide up to approximately \$14 million in total USAID financial support allocated over the 5-year period, e.g. \$2.8 million per year. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section I - Grant Application Format;
2. Section II - Selection Criteria;
3. Section III – Program Description;
4. Section IV - Certifications, Assurances, and Other Statements of Applicant/Grantee;

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section II - Selection Criteria;
- (b) Section I - Grant Application Format;
- (c) Section III - The Program Description;
- (d) This Cover Letter.

Sincerely,

Marcus A. Johnson, Jr.  
Regional Agreement Officer

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## **SECTION I - GRANT APPLICATION FORMAT**

### **PREPARATION GUIDELINES**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on the cover page of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section II.

Technical applications in response to this solicitation should address how the applicant intends to carry out the USAID Program. It should also show evidence of a clear understanding of the work to be undertaken and the responsibilities of all parties. The portion of the application addressing the technical aspect should be organized by the technical evaluation criteria.

Detailed information should be presented only when required by specific RFA instructions. Proposals are limited to 70 pages in the English language, and typed on standard 8 1/2" x 11" paper (210 mm by 297mm paper), single spaced, 11 or 12 point type with each page numbered consecutively. Items such as graphs, charts, cover pages, dividers, table of contents, and attachments (i.e. key personnel resumes, table summarizing qualifications of proposed personnel, past performance summary table and past performance report forms) are not included in the 70-page limitation.

The Technical Application should be organized in the following order while addressing the stated Evaluation Criteria of the RFA.

#### **Executive Summary**

Present an executive summary of no more than five (5) pages highlighting the most salient features of the proposed approach in the French and the English language.

#### **Part 1 – Instructions for Key Personnel**

According to the desired results, the potential bidder should propose a qualified technical team. USAID will designate a minimum of two long term positions as key. Offers may however propose up to a total of five positions to be designated as key positions. Include an explanation on how the background and expertise of the key personnel complement each other.

1. Chief of Party -- who may have expertise in and thus substitute for number 2 and/or 3 below as well as be the administrative and leadership head of the proposed program.

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(Note: The Chief of Party to be authorized to represent the recipient in all matters pertaining to the execution of the Program Description with the possible exception of authority to sign amendments to Agreement and certain other types of approvals and authorization as determined by the Recipient. The Chief of Party will serve as the Recipient's Representative in Mali for the purposes of the Agreement. The Chief of Party shall receive limited technical guidance from the USAID Cognizant Technical Officer (CTO) or his/her designee, only.)

2. Child Survival Specialist (expertise particularly with regard to the high impact services nutrition)
3. Family Planning/Reproductive Health Specialist

**Other key areas include:**

1. Monitoring and Evaluation
2. Community-based health service delivery
3. Clinical Training -- provider performance improvement
4. Community mobilization and behavior change communication (expertise is needed in the execution of behavior change activities, not materials development, as this expertise will reside in the contract).

The above may be provided by a combination of short and long-term technical expertise depending on the technical approach and cost. Experts from Mali and the West Africa region should be considered and utilized where practical. All personnel should have sufficient French language skills to perform assigned duties.

Applicants must include as part of its proposal a statement signed by each person proposed as key personnel confirming their present intention to serve in the stated position and their present availability to serve for the term proposed. Include full contact information of all employers of each proposed key personnel since January 1, 2000. Present a chart or table that includes the following: name and position of key personnel proposed; expected duration of the position; expected employment duration of the individual proposed; and CV or resume for each - limited to 3 pages each.

**Part 2 - Technical Approach**

Applications must provide a concise summary of their proposed approach to increase utilization of high impact services. This summary should include:

- Proposed program approach to achieving increased utilization of services in the target cercles and basis for selecting this approach. A strategy with key elements for increasing utilization of each high impact service;
- Proposed Performance Monitoring Plan – This should include clearly articulated benchmarks and impact indicators; a demonstrated understanding of the linkages between interventions, program outcomes, and increased utilization of high impact services, and a description of evaluation approaches;
- Capacity Building – proposed type and scope of capacity-building and coordination activities to be undertaken, and the rationale for selecting these activities. Approach for working with and transferring skills to the Ministry of Health and other partners;
- Proposed coordination mechanisms between MOH, other partners, and the national level contract; and
- Gender equity considerations.

**Cercle Level Implementation Case Study:**

Applicants must prepare a case study to demonstrate how they propose to increase the use of high impact CS and FP/RH services in a target cercle. The case study is to be based on publicly available information and does not require a field visit. Applicants should select one of the cercles designated by USAID/Mali (see <http://www.usaid.gov/ml>) and prepare a case study which addressed the following:

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- A detailed description of the approach to be taken to increase the use of high impact services at the cercle level;
- Plan for providing and scaling up community-based service delivery;
- An illustrative multi-year implementation plan for cercle level activities;
- The approach for involving the regional and cercle level stakeholders in program implementation; and
- Approach to working with other USAID/Mali SO teams.

**Part 3 - Management Plan**

Technical applications must include a detailed management plan that will be followed during the execution of the award. The management plan must include descriptions of the following elements:

- Participating Organizations - Proposed prime organization, other organizations, if any, and their relationships should be clearly described. This should include a description of the comparative advantage that each organization brings to this activity. Applicants proposing a consortium or joint-venture-like mechanism rather than a prime/sub need to include a description of the management procedures to be followed regarding each member. Note that the USAID will only commit to a bilateral relationship so consortium and joint-venture arrangements must designate (authorize) one legal entity/individual able to bind all partners in the offer to the Government;
- Organizational Structure - Positions, roles and responsibilities, and overall numbers of employees within all organizations;
- Policies and Procedures - Proposed policies and procedures for managing and directing the effort to ensure productivity, quality, cost control, and early identification and resolution of difficulties. Standard corporate policies and practices documentation submitted for Agreement Officer responsibility determination may be referenced, however the intent here is to highlight (unique) policies that may be created specifically in responding to the RFA;
- Implementation Planning – This is composed of three sections and illustrates how the offeror intends to implement a management plan that contributes to the achievement of the stated results. The first section should contain a detailed Mobilization Plan of the first 90 days. The second section is a less detailed initial Annual Work plan through September 30, 2004 that includes how the offeror envisions assuming responsibilities of project activities currently under ending field support mechanisms. The third section is more illustrative of a five year vision, should all award options be exercised;
- Staffing Plan - Proposed overall staffing plan for the project team, including positions, roles and responsibilities of project staff, and a visual representation of proposed staffing structure through an organigram; and
- Location – describe arrangements for the location of all project personnel.

**Part 4 - Past Performance**

The U.S. Government will evaluate the quality of the offeror's past performance. This evaluation is separate and distinct from the Contracting Officer's responsibility determination. The assessment of the offeror's past performance will be used to evaluate the relative capability of the offeror and other competitors to successfully carryout the program. Past performance of significant and critical subcontractors and other types of partnerships in bidder applications will be considered to the extent warranted by their involvement in the proposed effort.

Bidder must provide a list of U.S. Federal awards (prime contracts and grants) active in calendar year 2000, 2001, and 2002. Include at least one reference (e.g. name, title, organization name, telephone and fax number, and email address) for



each award. Performance as a subcontractor and/or subgrantee may also be provided with contact (reference) information of a knowledgeable representative from the prime and the U.S. Federal agency -- cognizant technical office(r).

The U.S. Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources outside of the U.S. Government. Offerors lacking relevant past performance history will receive a neutral rating for past performance. However, the proposal of an offeror with no relevant past performance, may not represent the most advantageous proposal to the U.S. Government and thus, may be an unsuccessful proposal when compared to the proposals of the other offerors. The offeror must provide the information requested above for past performance evaluation or affirmatively state that it possesses no relevant directly related or similar past performance experience. The Government reserves the right not to evaluate or consider for award the entire proposal from an offeror which fails to provide the past performance information or which fails to assert that it has no relevant directly related or similar past performance experience.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed.

## **COST APPLICATION FORMAT**

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. A copy of the program description that was detailed in the applicants' program description, formatted in MS Word 2000 and provided electronically to USAID.

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. Submit a cost proposal and a summary budget estimate on a SF 424A covering a five year period. Also include five, more detailed annual budgets with supporting budget notes. The award is anticipated to be initially for a three-year base period with pre-priced option periods for year four and five. Again, make sure to include budget notes explaining your assumptions (e.g. formulas and rationale). The summary budget Standard Form 424 and 424A can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;

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- your procurement plan for commodities

C. A current Negotiated Indirect Cost Rate Agreement;

D. Required certifications and representations (as attached):

E. Cost share target ratio of 1-to-1 of the total estimated amount has been recommended. The exact percentage may vary but some amount of cost-sharing, matching arrangement, and/or in-kind contribution is required to be eligible for consideration of award.

F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

2. projected budget, cash flow and organizational chart;

3. A copy of the organization's accounting manual.

G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.

3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

**In addition to the aforementioned guidelines, the applicant is requested to take note of the following:**

I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

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### **L. Submission of Applications:**

1. Applications and modifications thereof shall be submitted electronically e.g., no more than 6 attachments (3MB limit) per email in any software application compatible with MS Word 2000 and MS Excel and/or Adobe Portable Document Format (PDF). Hard copy of applications and modifications thereof are not required or desired unless the Regional Agreement Officer states otherwise.

2. Faxed applications will not be considered. However, the completed, signed Standard Form 424 "Application for Federal Assistance" and 424A "Budget Information" and other required signed pages of bidders electronic application packages may be faxed, if received by the time specified for receipt of applications on the cover page.

### **M. Preparation of Applications:**

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

### **O. Grant Award:**

1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section II, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

P. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

Q. Non-Financial Commitments - USAID may consider more than its financial commitment as a mean of its support. Example, to obtain the maximum public-private alliance partnership possible an offeror requests that the Cognizant Technical Officer (CTO) and/or the Mission Director to meet annually with the Board of Directors of a corporation or foundation at its HQ somewhere in the world to present the view of the U.S. Government as to how the alliance is performing. The expense would be outside the financing of the award but is a specific request of the offeror e.g., the alliance partner(s).

## **SECTION II - SELECTION CRITERIA**

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

The Regional Agreement Officer in consultation with the representatives of the Cognizant Technical Office will review applications in accordance with selection criteria specified in this Request for Applications.

### **A. Mandatory Criteria**

Applications must satisfy this minimum criterion to be eligible (e.g. responsible) for further consideration.

1. This includes but not limited to the criteria that applicants must be a U.S. Non-Government Organization (NGO) or other type of legal entity accredited or able to obtain accreditation to operate in the Republic of Mali; and
2. Cost Sharing, Matching Arrangement and/or In-Kind Contribution from the recipient is required. USAID policy does not state a specific minimum or maximum percentage of recipient contribution. However some amount of contribution from non-U.S. Federal sources is required.

“Cost- sharing” means the application presents cash from non-US Federal sources which the offeror will use in the performance of the award. “Matching-Arrangement” means the application presents cash from non-US Federal sources which will be provided at a set ratio (e.g. for every 2 dollars USAID obligates the recipient will provide 1 dollar.) “In-Kind Contribution” means the donation of tangible property (such as computers, medical and lab equipment, intellectual property rights, technology transfer, but excluding real) or services (such as rent, utilities, etc.) provided by the recipient to the Government.

## **B. EVALUATION CRITERIA: BEST VALUE**

A review panel established under the direction of the Regional Agreement Officer will evaluate proposals. The review panel and the Regional Agreement Officer will use “Best Value” criteria to determine the proposal most advantageous to the U.S. Government. **All evaluation factors other than cost or price, when combined, are relatively more important than cost or price. Technical evaluation factors, and the subfactors thereof, are listed below are of equal weight to each other. Cost evaluation factors, and the subfactors thereof, are listed below are of equal weight to each other.** The award shall be made to the responsive and responsible offeror whose combined technical and cost factor offer the best value to the U.S. Government.

### **A. TECHNICAL EVALUATION**

#### **1) Qualifications of key personnel**

- a. Appropriate technical experience for the position proposed;
- b. Appropriate educational background for the position proposed;
- c. Previous work in the region, or other background, that demonstrates the ability to work effectively in the position proposed;
- d. Ability to work effectively in the English, French, and other local languages.

#### **2) Technical Approach:**

- a. The likelihood that the programs for which funding is sought will make a recognizable, significant and measurable contribution towards achieving the objectives of this RFA. (Bidders are encouraged to propose additional process and result indicators); and
- b. Evidence of and the extent to which non-U.S. Federal sources (e.g. public-private partnerships) provides a comparative advantage in meeting the goals and objectives of the program.

#### **3) Management Plans**

- a. Mobilization Plan. Along with the Technical Proposal the Offeror must submit a Mobilization Plan. This plan will guide the organization of award resources and initial activities. This start-up plan must address at a minimum the anticipated logistics of award start-up and the process and timing of establishing administrative and financial control systems. It will also cover the timing of the initial deployment of expatriate staff, the plan for hiring appropriately qualified local staff, and the plan for the initial activities to be executed by these staff members. An important component of this plan will be a section detailing measures for developing a collaborative working relationship with other USAID/Mali funded implementing partners. Part of this plan should also include information regarding how the awardee will build upon the achievements of USAID/Mali cited as related activities closing out;
- b. Goals/milestones in and reasonableness of the initial Annual Workplan – Effective date through September 30, 2004.
- c. Five year vision (broad plan), should USAID exercise all option periods.

#### **4) Past Performance**

- a. Offeror demonstrates the relationship between the methods and techniques, which it proposes to undertake in this award and its previous performance and experience with similar or related activities;
- b. Previous performance for USAID, other donors, or other entities in the Health field in West African countries.
- c. Demonstrates capacity to manage personnel needs and requirements for a large multi-faceted program operating in West African countries; and

- d. Demonstrates an effective system for managing subgrants, joint-venture relationships or any other method proposed for involving the work of other organizations to carry out the Agreement.

## **B. COST EVALUATION**

The recipient should have a structure that will allow it to provide the greatest value (highest results) at the lowest cost; minimizing and/or eliminating overall administrative costs, overhead, subcontract/subgrant pass-through costs, international staff benefits, home office communications and other administrative support costs. Each offeror's cost proposal of the base period and option periods shall be evaluated based on the following criteria in comparison with the cost proposal of other offerors:

- 1) Effectiveness of proposed cost control structure
  - a. Budget transparency to effectively track expenditures; and
  - b. Subcontracting/grantmaking methods are clearly defined.
- 2) Reasonableness of proposed labor cost and structure
  - a. Expatriate salary structure and expense; and
  - b. Local salary structure and expense
- 3) Cost efficiency of proposed Other Direct Costs (ODCs)
  - a. Offers market competitive pricing estimates of tangible items to be used for performance; and
  - b. Competitiveness of pricing and soundness purchase methods of international and in-country air travel and surface transportation.
- 4) Amount of cost-sharing, matching arrangements, and/or market value of in-kind contributions proposed.
  - a. amount and/or market value from non-U.S. Federal sources; and
  - b. amount and/or market value from all sources, if different than “a.”
- 5) Reasonableness of overall proposed price

## SECTION III - PROGRAM DESCRIPTION

### C.1 BACKGROUND

USAID/Mali is initiating implementation of its Country Strategic Plan for the period of 2003 to 2012, entitled Reducing Poverty and Accelerating Economic Growth through Partnerships. There are four strategic objectives (SOs) and one special objective (SpO).

SO 6	Use of High Impact Health Services Increased
SO 7	Improved Quality of Basic Education
SO 8	Shared Governance through Decentralization
SO 9	Accelerated Economic Growth
SpO 10	Communications for Development

The purpose of this Request for Applications is to provide technical assistance, training and limited commodity support to the Government of the Republic of Mali in order to achieve the results envisioned under the USAID/Mali Strategic Objective for Health (SO 6): Use of High Impact Health Services Increased in 11 target cercles and 2 communes in Bamako. The recipient's primary clients shall be the Malian Ministry of Health and USAID. The recipient shall actively collaborate with other USAID-funded organizations working under the same strategic objective.

### C.2 SO 6: INCREASED USE OF HIGH IMPACT SERVICES

From 2003 to 2012, USAID/Mali, in close collaboration with the Government of the Republic of Mali (GRM) will implement the recently approved Country Strategic Plan entitled, Reducing Poverty and Accelerating Economic Growth. The health strategic objective under the new strategy is SO 6: High Impact Health Services. The complete strategy can be found on the USAID/Mali Mission website <http://www.usaid.org.ml> Below are some salient points:

#### Key Health Services:

The strategy will concentrate on the implementation of high impact, proven reproductive and child health services that will have an effect on Mali's continued high fertility, under-five and maternal mortality rates. These services include:

- Childhood vaccinations and tetanus toxoid for women of reproductive age
- Twice yearly vitamin A supplementation of children integrated with iron-folate supplementation for pregnant women
- Best practices in Mali of growth monitoring, promotion and child feeding (e.g., exclusive breastfeeding)

- Promotion of insecticide treated bednets/materials and prompt and effective treatment with appropriate anti-malarials, including presumptive treatment of pregnant women at selected intervals
- Promotion of appropriate home fluids and oral rehydration salts for treatment of diarrhea
- Full range of proven and effective family planning interventions and approaches implemented at all levels including: social marketing, contraceptive logistics, communication, advocacy, behavior change and IEC appropriate training, capacity building for quality service delivery and management support
- Prevention of STI/HIV transmission, with a special emphasis on bridging populations.

Intermediate Results: Implementation of this SO will be through work in the four Intermediate Results

IR 1: Policy environment for high impact health services established

IR 2: Demand for high impact health services increased

IR 3: Access to high impact health services increased

IR 4: Quality of high impact health services improved

**Expected Results:** As a result of the combined activities of all partners under the strategy, by 2007 and by 2012, it is targeted that:

- Percentage of pregnant women receiving intermittent presumptive treatment for malaria will improve from a baseline of 15%, to 45% and to 60% respectively;
- Percentage of children (6-59 months old) receiving Vitamin A supplementation will increase from 32%, to 50% and to 80%;
- Percentage of pregnant women using insecticide-treated bednets will improve from today's 3%, to 30% and to 52%;
- Percentage of children (12-23 months old) fully vaccinated prior to first birthday will increase from 21%, to 40% and to 80%;
- Percentage of children (12 months old) who have received DPT3 will climb from 34%, to 50% and to 80%;
- Percentage of children 6-59 months with diarrhea receiving ORT will expand from 30%, to 50% and to 67%;
- Percentage of high-risk population using condoms during last sexual intercourse will increase from 44.8%, to 65% and to 80%; and
- Contraceptive prevalence rate for modern methods, women of reproductive age, will progress from 5.7%, to 8% and to 11%.

### **C.3 SO 6 IMPLEMENTATION MODALITIES**

#### **C.3.1 Technical Domains and Levels of focus**

There are two dimensions to the SO 6 results framework: technical domains and levels of focus. The technical domains support Mali's health priorities, and are child survival (CS), family planning/reproductive health (FP/RH) and STI/HIV/AIDS services. Level of focus refers to the operational level at which activities are carried out. Activities will be carried out on three levels: 1) national 2) cercle and community, and 3) high risk locations and groups (primarily for HIV/AIDS activities).

**National Level Activities:** USAID's assistance to this level will include both national (or central) level systems support and nation-wide support for service delivery. Activities will include policy dialogue, monitoring and evaluation, operations research, information dissemination, technical assistance (TA), training, provision of materials and equipment, and capacity building. National level activities will resemble interventions common to traditional "vertical" models of support and service delivery to strengthen MOH and PVO/NGO partners' capabilities to increase supply, quality and demand for their services nationwide. Interaction at this level will be primarily with the Central Ministry of Health, and the national programs that are responsible for providing high impact services, for example, the Direction Nationale de la Sante (DNS), and its divisions including the Programme National de Lutte Contre le Paludisme, (PNLP), and the Division de la Sante de la Reproduction (DSR) and the Division de la Nutrition (DNS). Other programs such as the Programme National de la Lutte Contre le Sida (PNLS) will also be involved. Activities will also take place the regional level. Illustrative examples include: support for nation-wide service delivery under national programs such as reproductive



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health, immunization, and malaria; dissemination of norms and procedures; and technical assistance for improved decentralized planning.

**High Risk Groups and Locations:** Primarily under the STI/HIV/AIDS technical domain, SO 6 will target interventions at bridging populations that engage in high-risk behaviors. These bridging populations include groups such as young domestic workers, truck drivers, ticket sellers, miners, etc. Geographic location will depend on where the high risk groups are located, for example, along trucking routes.

**Cercle and Community:** SO 6 activities will facilitate the use of high impact, customer-focused information and services in 11 cercles, including 3 cercles in the under-served North, and two communes in Bamako, (also referred to as "target zones"). The populations in these intervention zones represent approximately 30% of Mali's population and 30% of its CSCOMS.

**Cercle and Community Intervention Areas:**

REGION	CERCLES (and 2 Bamako Communes)
Koulikoro	Dioila
	Kati
Sikasso	Kadiolo
	Koutiala
	Sikasso
Segou	San
	Segou
Mopti	Bandiagara
Tombouctou	Tombouctou
Gao	Gao
Kidal	Kidal
Bamako	Communes I and IV

Relationship of SO 6 target zones to the "Priority Communes List" and "Other Target Communes List" in the Annex: It is envisioned that health activities under the Cercle Level Cooperative Agreement will be carried out "cercle wide" wherever possible, most likely spanning out from CSCOMs and coordinated with the Cercle Health Team. Therefore SO 6 activities are programmed at the cercle rather than commune level. Ideally, health activities will cover ALL of the communes in the above mentioned cercles. See also section on synergies with other USAID/Mali Strategic Objectives, C.3.5.

### **C.3.2 SO 6 Customers and Partners**

**SO 6 Customers:** The primary customers targeted under SO 6 FP activities are couples of all ages, but especially young married couples, individuals of reproductive age, men as partners, youth, and mothers. Infants and children up to age 5 are major customers of child survival activities. Groups at high risk of contracting STIs, including commercial sex workers and their clients, truck drivers, ticket agents (coxeurs), mine workers, maids, ambulatory venders and youth will be targeted for HIV/AIDS activities.

SO6 customers also include health professionals and paramedicals – occupational specialists (public or private) who are legally certified by the GRM to provide or prescribe defined services. They will benefit from training, materials and resources which allow them to provide quality high impact services. Other essential customers include the local

community and grassroots organizations, NGOs, political and public opinion leaders in the realms of religion, civil society and private business – those who frame and/or implement national and local policies, make or interpret laws and regulations, promote and guide programs. It is anticipated that school children and farmers associations will be customers through synergistic activities with other SOs. Also, traditional healers will be both customers and partners. Gender issues will be considered in designing programs so that all customers receive the appropriate benefits.

**SO 6 Partners:** USAID's partners under SO 6 are the GRM, other donors, international and national non-governmental organizations, grassroots organizations, local management entities such as ASACOs, private sector partners and civil society. USAID's partnership with the GRM is outlined in the Strategic Objective Agreement (SOAG) signed in September 2002 after consultation with and consent of the Ministry of Health.

**Non-public providers:** USAID and its implementing partners will also undertake service delivery activities with non-governmental partners where they represent the best option for achieving results and for expansion of delivery of high impact services. Given the low access to and utilization of MOH facilities, non-governmental options for health care delivery and health promotion will be essential to achieve results. Increasing the utilization of private sector services is also part of the MOH strategic plan for health services. USAID will continue to support nation-wide social marketing activities and other public private partnerships to increase access to services.

### **C.3.3. Implementation Mechanisms**

#### *Bridging Activities*

In the final years of the Youth Strategy, USAID/Mali increasingly relied on U.S. implementing partners provided through USAID/Washington's centrally-funded, Field Support funding mechanisms to implement transition activities designed to respond to MOH needs at the national level. USAID and the MOH plan to maintain certain key field support partners and activities as part of SO 6. USAID also plans to issue new contracts and agreements under the new strategy. These new arrangements will assume a number of functions previously carried out under field support based on the assumption that use of the bilateral instruments will both promote program integration and reduce the number of management units. USAID will require all SO 6 implementing partners – whether funded through Field Support or bilateral funds – to participate in a health partner coordinating forum to assure a coherent and coordinated approach to achieving SO 6 results.

Bridging Activities in Child Survival and FP/RH (does not include HIV/AIDS Activities)

Close Out Activities Current activities scheduled to close on June 30, 2003	Bridging Activities Current activities which will phase out in the first two years of the strategy (e.g. by Sept. '04)	Separate on-going Activities Current activities which will continue indefinitely into the strategy.
JSI/PDY	BASICS II	Central Contraceptive Procurement (CCP)
CEDPA/RHYM	PHR	DELIVER
	PRIME	Measure/DHS
		POLICY
		Netmark

#### *New Activities Anticipated under SO 6*

**NATIONAL LEVEL CONTRACT:** The purpose of this contract will be to provide technical assistance, training and limited commodity support to the Government of the Republic of Mali in order to achieve the results envisioned under the USAID/Mali Strategic Objective for Health in the technical domains of child survival and family planning/reproductive health. The contract will strengthen MOH systems which support high impact services, such as immunization, Vitamin A supplementation, nutrition, control of diarrheal disease, malaria, family planning and reproductive health programs, and

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IEC/BCC. It will also provide a limited amount of targeted short-term technical assistance to the MOH to support the existing health sector multi-donor reform process and the Health Sector Development Strategy (the PRODESS). The awardee will assist USAID in several aspects of program implementation including: 1) assisting USAID in developing a joint workplan to include all USAID funded partners; and 2) consolidating information from partners for concise, periodic reporting to the MOH. Finally, the contractor will provide limited technical assistance to the Cercle Level Cooperative Agreement (for example in IEC). The contract headquarters will be located in Bamako. The contract will be for 3 years with 2 option years.

**CERCLE LEVEL COOPERATIVE AGREEMENT:** The purpose of this agreement will be to support the delivery of high impact health services in the 11 target cercles and 2 Bamako communes mentioned above. It is envisioned that the implementer will not provide direct service delivery, but rather will work closely with existing service delivery structures (e.g. the MOH, ASACOs, private sector providers, local groups) to facilitate the delivery of the high impact health services in the target areas. It will provide technical assistance, training, and limited commodity support to the Ministry of Health, NGO partners, women's associations, private sector providers and community based agents. The role of the cooperative agreement will be to link communities with health services (building the capacity of community health centers and health committees), facilitate the delivery of key interventions within communities (through health center outreach activities, community based distribution, community drug kits etc), and to promote and support key health behaviors and practices at the household level. We envision close cooperation between the National Level Contract and the Cercle Level Cooperative Agreement and close collaboration with the Ministry of Health at all levels. The headquarters will be in Bamako. The cooperative agreement will be for three years with two option years.

**SOCIAL MARKETING AGREEMENT:** USAID anticipates funding a separate agreement to social market family planning commodities, HIV/AIDS services (such as condoms and VCT), and ORS. This activity will be a nationwide activity.

**LONG-TERM PARTICIPANT TRAINING:** USAID is currently funding a mechanism to provide long-term participant training for MOH staff to pursue higher degrees in key areas related the high impact services.

**HIV/AIDS MECHANISMS:** USAID/Mali is currently conducting activities under a stand-alone HIV/AIDS strategy which was drafted for the period of FY 01 to FY 05. Under this strategy, HIV/AIDS activities are being implemented by the POLICY Project (advocacy with the AIM model), a CDC PASA (surveillance, STI prevention, and technical assistance/capacity building of the PNLS) PSI, (social marketing to high risk groups and VCT) and Group Pivot (BCC activities with high risk groups). USAID/Mali plans to update the Mission HIV/AIDS strategy in FY 03 (following guidance provided by USAID/Washington) and to synchronize the HIV/AIDS strategy with the mission Country Strategic Plan. At that time USAID/Mali will review the above mentioned instruments and develop appropriate procurement plans. Limited funding will be available in the National Level Contract and Cercle Level Cooperative Agreement to carry out STI/HIV/AIDS Prevention activities. In all SO 6 activities, where appropriate and feasible, implementers will integrate STI/HIV/AIDS prevention activities (particularly STI prevention, treatment and referral, and case notification).

**DIRECT FUNDING TO THE MINISTRY OF HEALTH:** Under the Youth Strategy, USAID/Mali provides direct financing to the Ministry of Health to support a variety of activities. The funding flows from USAID/Mali to the MOH Directorate of Finance and Administration (DAF) through Letters of Implementation under the Strategic Objective Agreement (SOAG). USAID/Mali and the MOH develop an annual action plan and budget which includes key central divisions and the five southern regions. Examples of activities financed with direct funding include: training, procurement of supplies, and supervision. Although originally programmed at a level of US \$1 million per year, the execution/expenditure rate has averaged about less than 40% over the life of the Youth strategy. Funding for the Ministry of Health will continue under the high impact strategy. However, a lower amount may be earmarked for MOH spending in the initial years. This amount may increase or decrease based on the ability of the MOH to utilize funds.

### **C.3.4 Relationship between Implementation Mechanisms**

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The National Level Contract will be primarily responsible for national level systems support, and nation-wide implementation of certain activities. The Cercle Level CA will be primarily responsible for the activities from the Cercle to community level. The Social Marketing Contract will be active nation-wide from the national to community level.

The implementing partners at the cercle and community level (primarily the Cercle Level award) will collaborate with cercle health officials, ASACOs, CSCOMs, and other community agents. Although interaction with the regional level will be critical, it is envisioned that most of the planning and implementation focus will be with local entities within the health cercle where most of the activities will be implemented. It is envisioned that the National Level Contract will also interact with the regional level in the context of supporting the MOH to improve nation-wide service delivery of high impact services. Potential bidders should clearly specify their program's intended relationship with the regional level. All activities will be planned and implemented in close collaboration with the MOH and the implementing partners should participate in the MOH annual planning process.

The Cercle Level Cooperative Agreement and the National Level contract are complementary: successful results in one will be more difficult without close collaboration and quality output from the other. USAID/Mali will expect the implementing partners to work closely and collaboratively and will regularly monitor the partnership to ensure active participation, coordination, and information sharing. The lessons learned during implementation of the Cercle Level CA will be fed back to the National Level Contract so that the Ministry, with the National Level Contractor's input, can revise and improve services at the peripheral level. This "feedback loop" is a very important feature of the design that will strengthen coordination between policy makers, cercle officials, and community stakeholders and, ultimately, lead to achievement and sustainability of results. All potential bidders should read the RFP and RFA carefully to ensure roles and responsibilities are complementary and not duplicative.

See the reference chart for further clarifying the respective roles of the National Level and the Cercle Level awards.

### **C.3.5. SO 6 Synergies with other USAID/Mali Strategic Objectives**

As mentioned above, USAID/Mali will be implementing the following objectives:

SO 6	Use of High Impact Health Services Increased
SO 7	Improved Quality of Basic Education
SO 8	Shared Governance through Decentralization
SO 9	Accelerated Economic Growth
SpO 10	Communications for Development

Programmatic linkages between strategic objectives at lower levels (e.g. Region, Cercle, Commune and community) will be an important implementation modality in the new strategy. Activities will be linked programmatically to reinforce each other and to obtain maximum impact. Beyond the focus communes, USAID will seek opportunities for synergies wherever possible, with other strategic objectives or with other donors.

In anticipation of releasing its procurements, USAID/Mali SO teams worked with each other, with other partners, and with the GRM to define intervention areas. As mentioned above, SO 6 will provide assistance to 11 target cercles and 2 Bamako communes under the Cercle Level Cooperative Agreement. Other SOs will work in areas that are located within SO 6's 11 target areas. The list of communes in which SO 7, SO 8 and SO 9 will work can be found in Section J. SpO 10 activities (as defined by radio coverage) reaches all of the communes. USAID/Mali anticipates that implementing partners for other SO Teams will initiate activities in Mali on/about July 2003. A copy of the terms of reference for the other SO teams can be found on the USAID procurement web site.

USAID's implementing partners for SO 6 will be strongly encouraged to maximize collaboration with partners of USAID's other SO teams to promote synergy where possible. USAID's SO 6 team will convene a series of special coordination meetings devoted specifically to coordination with other SO partners, and will continue to encourage frequent formal and informal coordination throughout the life of the strategy.

Illustrative synergistic activities are mentioned in the scopes of work for both the National Level Contract and the Cercle Level CA.

### **C.3.6 Other donor activities related to SO 6**

All health sector donors work together within the context of the Ministry of Health's ten-year action plan for health, the PRODESS, and with the coordination of the Ministry of Health. In the Fall of 2001, USAID/Mali conducted a donor mapping exercise which compiled program information from 20 donors active in the health sector in Mali. Please see Annex section for the complete report.

### **C.3.7. Gender Considerations**

All instruments will take into account gender roles and differences as they relate to quality, demand for, access to and use of high impact services. Services will be designed/delivered with gender needs and differences in mind. Disaggregation of data by sex will be required, including clients/beneficiaries, providers, leadership roles and organization membership and staff. IEC activities will target both men and women and be gender appropriate. To the extent possible, men's responsibility for RH/FP and STI/HIV prevention will be promoted through policy, mass media and service provision. The effective participation of women in the ASACO and in community health service delivery will be promoted at the community level, and activities designed to foster leadership among women will be welcomed. As required in USAID's Automated Directive System (ADS), attention to gender issues will be taken into consideration.

### **C.3.8. Program Coordination**

Collaboration between SO 6's implementing partners will be fostered through several processes:

- 1) Participation of all SO 6 partners in a periodic coordination (monthly or quarterly, as needed) forum in which all implementing partners come together to share progress and problems, discuss issues of common concern, and identify areas for joint action.
- 2) Active participation of all relevant SO 6 implementing partners (and other SO team contractors wherever possible) in local level integrated planning, implementation, and monitoring processes with local entities in the 11 cercles and 2 communes,
- 3) active participation of all partners in monitoring and evaluating the progress (or lack thereof) of their programs, in terms of their own agreements or contracts, and in relation to SO 6's Performance Monitoring Plan (PMP). To the extent possible, SO 6's PMP and implementing partner M&E plans will be based on MOH objectives and indicators as described in the PRODESS and SO 6 data will feed into the MOH data system.
- 4) Bi-annual meetings with the Ministry of Health to examine results and evaluate progress.
- 5) Elaboration of one annual joint workplan for all SO 6 funded partners

#### **C.4 PROGRAM ACTIVITIES AND OUTCOMES**

The purpose of this Cooperative Agreement is to provide technical assistance, facilitation, training and limited commodity support to the Government of the Republic of Mali in order to achieve the results envisioned under the USAID Mali Strategic Objective for Health (SO 6): Increased Use of High Impact Health Services. Activities will be carried out in the 11 target cercles and two communes (I and IV) of Bamako.

As described in USAID/Mali's Country Strategic Plan, SO6's approach to increasing the use of high impact services involves the three components below. Building on past efforts, and working in close collaboration with the Ministry of Health, the Cercle Level CA should support increased use of health services through:

- Linking and involving communities with health services (further developing community health centers and health committees);
- Facilitating delivery of key interventions within communities (further developing health center outreach activities and the impact of community distributors, motivators, and agents); and
- Promoting and supporting key health behaviors and practices at the household level.

Activities under this Cooperative Agreement should be consistent with the following principles:

1. Collaboration with the GRM/MOH: the MOH is responsible for setting standards and assuring appropriate provision of health services throughout the country. The CA should seek guidance from the MOH, particularly regional and cercle levels, coordinate activities, and communicate and inform the appropriate authorities. The CA should build the capacity of the MOH (primarily at the regional, cercle and CSCOM Level) to manage this kind of program to the greatest extent possible.
2. Expansion of coverage, scaling up: Much has already been learned about strategies that work for providing high impact services at cercle and community level. USAID/Mali is interested in having the CA apply these effective measures to larger target populations. The implementer should seek to provide technical assistance to organizations already on the ground rather than establishing parallel systems to deliver services.
3. Promote the Mali Government decentralization policy: Although not entirely operational, Mali has made great strides in decentralization of health structures. The CA should work with MOH authorities so as to support decision-making and resource allocation to regional and cercle levels.

4. Encouraging civil society organizations, community dialogue and problem solving: USAID Mali believes that strong civil society organizations, open debate and self-sufficient individuals and communities lead to effective community responses to health issues. This is related to demand creation and utilization of high impact services.
5. Addressing gender issues: Program effectiveness will be maximized by considering gender differences in provision and utilization of the high impact services.
6. Capacity building of local NGOs: It is envisioned that local NGOs will be an important part of project implementation under the cooperative agreement. They will implement activities while at the same time building their capacity to carry out such activities independently. When working with local NGOs, the CA should create a plan and show results toward building NGO capacity toward sustainability. The important elements of NGO sustainability under this activity would be organizational, financial, and technical to the extent that the local NGOs would be able to independently carry out similar activities. See Annex section for examples of tools and indicators related to local partner capacity building.
7. To the extent possible, the CA should develop a common, standardized approach to providing community-based services. As mentioned elsewhere, this would facilitate replication and scale-up. Bidders are encouraged to investigate the UNICEF/MOH S.A.S.D.E project as one potential model for community-based services.

### **High Impact Services**

The cooperative agreement will provide technical assistance, training, and commodity support which will focus on the high impact health services listed below:

- Childhood vaccinations and tetanus toxoid for women of reproductive age
- Twice yearly vitamin A supplementation of children integrated with iron-folate supplementation for pregnant women and if feasible, intermittent presumptive treatment for Malaria in pregnant women.
- High impact nutrition activities such as breast feeding promotion and appropriate child feeding practices
- Prompt and effective treatment with appropriate anti-malarials, including presumptive treatment of pregnant women at selected intervals
- Promotion of appropriate home fluids and oral rehydration salts for treatment of diarrhea (in collaboration with social marketing instrument)
- A full range of proven and effective family planning interventions and approaches implemented at all levels including: social marketing (to be carried out under a separate instrument), logistics (with the DELIVER project), communication, advocacy (with the Policy Project), behavior change and IEC, appropriate training and management support.
- Selected maternal health interventions

All activities under the cooperative agreement should be directly linked to strengthening the delivery the above services, increasing demand, and hence increasing utilization of such services.

### **Expected Results**

After 5 years, it is expected that the following targets will be met in the target zones:

- Percentage of pregnant women receiving intermittent presumptive treatment for malaria will improve from a baseline of 15%, to 45%
- Percentage of pregnant women using insecticide-treated bednets will improve from today's 3%, to 30%
- Percentage of children (6-59 months old) receiving Vitamin A supplementation will increase from 32%, to 80%
- Percentage of children (12-23 months old) fully vaccinated prior to first birthday will increase from 21%, to 80%
- Percentage of children (12 months old) who have received DPT3 will climb from 34%, to 80%
- Percentage of children 6-59 months with diarrhea receiving ORT will expand from 30%, to 50%
- Contraceptive prevalence rate for modern methods, women of reproductive age, will progress from 5.7%, to 8%

The above are illustrative targets may vary from cercle to cercle, bidders should propose the targets they think they are realistic in their applications.

Funding for the Life of the Cooperative Agreement

<b>Earmark</b>	<b>Percent of Total</b>
HIV/AIDS	2 %
Family Planning	36 %
Child Survival	62 %
<b>TOTAL</b>	<b>14,000,000</b>

## **COMPONENTS OF THE COOPERATIVE AGREEMENT**

The cooperative agreement will operate in three main areas, referred to here as components.

Component One: High Impact Services  
Component Two: Cross Cutting Activities

### **COMPONENT ONE: HIGH IMPACT SERVICES**

#### ***Objective 1.1 Utilization of high impact services increased in target cercles***

Provided below are some illustrative activities that could be carried out under the Cooperative Agreement to promote high impact services. As mentioned above, all activities will be carried out in close collaboration with the Cercle Health Team and other partners. For further background information on these technical areas and current activities being carried out by USAID, see the National Level RFP.

#### **Immunization**

- Facilitate linkages between the community with health facilities by scheduling outreach services to suit community availability and mobilizing communities to attend immunization sessions (fixed and outreach) through ASACOs and village relais.
- Establish community-held registers that can be used to record each child's immunization status, track vaccine defaulters, and identify infants who are not immunized.
- Have ASACOs monitor coverage on a periodic basis in their catchment areas and have this data serve as a basis from which to discuss immunization programs and progress and make appropriate decisions.
- Logistical support and micro-planning: Improving outreach services may require additional supplies and resources such as vaccines, transport, cold-chain equipment or lodging for health workers in the community. In many situations the most important limitations to outreach are a lack of transport (fuel and vehicles), lodging, incentives or per-diems. The CA can assist in planning and in providing selected logistical support (for example transport but not vaccines).
- Health worker performance: Provide training in communication skills, immunization safety, organization of fixed and outreach activities
- Missed Opportunities: Train health care workers to review the vaccination status of all children presenting to the health facility and provide vaccination where indicated is an approach to addressing health worker error.
- Monitoring and Evaluation: promote the use of coverage and population data at the cercle level for planning and micro planning activities to allow accurate vaccine forecasting to reduce wastage, and to plan logistics for essential equipment and supplies.



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- Community-based surveillance: Work with the MOH Cercle Health Team to link community based tracking of immunization coverage with community based surveillance of vaccine preventable diseases such as AFP, measles, and neonatal tetanus.

**Malaria**

- Promote appropriate care-seeking behavior for malaria
- Increase access to anti-malarials in the community
- Improve health worker malaria case-management skills
- Promote bednets, particularly for pregnant women and children
- Support intermittent presumptive treatment for pregnant women
- Support the elimination of breeding sites and other best practices in prevention

**Nutrition**

- Promote exclusive breastfeeding until six months
- Promote appropriate complementary feeding
- Promote nutritional management of the sick child
- Strengthen the delivery of iron and folate supplementation and appropriate nutrition during pregnancy
- Promote deworming activities

**Vitamin A**

- Assist in cercle and regional level planning and organization of Vitamin A campaigns
- Assess other ways of providing Vitamin A
- Improve health worker compliance with clinical guidelines for providing Vitamin A to sick children (e.g. with measles)
- Support post-partum distribution of Vitamin A

**Diarrheal Disease**

- Promote activities to decrease the incidence of diarrheal diseases (e.g. through the promotion of hand-washing)
- Promote the appropriate and early use of ORS and home based fluids in case of diarrhea
- Improve the skills of health workers in the proper case management and counseling for diarrheal disease by health workers at all levels.

Note: Acute Respiratory Illness (ARI) activities should be integrated where feasible.

**Maternal Health**

- Improve quality of antenatal care through iron/folate supplementation, early detection and management of malaria, and intermittent presumptive treatment of malaria.
- (NOTE: Interventions listed under malaria, family planning and nutrition also contribute to maternal health)

**Family Planning**

- Improve provider performance in counseling, contraceptive technology and infection prevention.
- Support community based distribution of contraceptives
- Improve logistic management at the cercle level for contraceptive supplies
- Promote the availability of contraceptive through the private sector
- Carry out gender sensitive IEC activities to promote family planning and birth spacing.

***STI/HIV/AIDS Prevention***

In all venues where appropriate, especially where promoting family planning and reproductive health, HIV/AIDS messages should be disseminated, particularly STI prevention and care-seeking behavior.

## **COMPONENT TWO: CROSS CUTTING ACTIVITIES**

***Objective 2.1 Standardized tools and programmatic guidance for community-based health service delivery developed with input from local level implementers, and once developed, successfully implemented in target zones.***

The National Level Contract will work with the Central Ministry of Health to develop the above mentioned tools and guidance (e.g., job aides, IEC materials, supervision checklists, registers and programmatic guidance). The Cercle Level CA will participate in the process by providing input into the guidelines and tool development based on their experience at the community level. The CA will encourage the participation of the Cercle and CSCOM health staff, existing community workers (CBD, CHA, PE, etc), ASACO members, local NGOs and associations to ensure their approval and support of the guidance and tools. They will also help field test the materials and ensure they are appropriate at the community level.

Once finalized, the CA will work with cercle level staff to introduce tools. These guidelines and tools will improve the effectiveness of the existing community-based distributors, agents, volunteers, and outreach mechanisms. This will better link communities with health services, expand the delivery of high impact interventions within communities, and promote and support key behaviors.

***Objective 2.2 Comprehensive IEC/BCC action plans, designed to increase utilization of high impact services, developed and implemented in all target cercles.***

The critical behaviors needed to increase utilization are described below:

- Households: understanding by families of disease prevention and benefits of family planning; recognition of life-threatening illnesses; adequate knowledge of home care and appropriate care-seeking behavior;
- Communities: community involvement in the design and delivery of behavior change strategies and in the management of health services (this could involve schools, communal councils, ASACOS etc);
- Health Providers: managing, promoting and implementing client centered services; and
- Leaders: appropriate policies and promotion of a customer focused health system and healthy behaviors by the population.

The CA will support behavior change activities to: 1) promote health, family planning, and illness prevention (e.g., exclusive breastfeeding, appropriate child feeding, use of bednets, the importance of immunization, health benefits of family planning) and 2) better recognize danger signs for and evidence of severe illness, provide appropriate home care, seek appropriate care, and accept referrals for additional care when recommended by health providers.

The CA will use a wide variety of channels, including mass and traditional media, interpersonal communication, advocacy, and social mobilization to target key populations (key decision makers, health managers and providers, communities, individuals and families). The well developed Malian radio network will be used to communicate messages and convey information. Local entities such as ASACOs, associations, women's groups, "groupements", local NGOs, traditional healers and community agents will be involved in designing and delivering communication activities. Strategies should be participatory, appropriate to the local populations, flexible and engaging for increasing demand.

Collaboration on IEC between the National Level Contract and the Cercle Level CA, the Social Marketing Instrument, and other implementers will need to be closely coordinated. Since the Contract will have BCC and materials development expertise, it is envisioned that the Contract will take the lead in materials development, including flipcharts, radio messages, IEC materials for community agents, and other communications strategies. The Contract will also provide technical assistance to the CA in developing comprehensive communication action plans for each intervention area (e.g. Cercle, and Bamako communes). The CA will work at the cercle level with MOH and other partners, to implement BCC strategies.

Illustrative Activities:

- With the ASACO and CSCOM, plan and provide the necessary TA to carry out demand creation IEC/BCC activities for the high impact services including campaigns, interpersonal activities, media, etc.
- Train community agents in BCC approaches.
- Work with community elderly men and women to promote improved care seeking behavior.
- Train CSCOM staff in interpersonal communication and community outreach
- Work with parent teacher associations
- Conduct “advocacy days” at the commune level to present key data related to high impact services (e.g. immunization rates, antenatal attendance), raise issues related to the specific high impact services, (e.g. issues of access) and to set priorities for community action.

***Objective 2.3 Access to health services increased in intervention areas through increased service delivery points (both private and public)***

Health services in Mali are grossly underused, with only 0.17 new visits/resident/year (MOH Report, 2001). Although the GRM has had some success expanding the first level service delivery infrastructure, still 41% of the population lives beyond 15 kilometers of a health service delivery site (considered by WHO to be the maximum distance for access to a facility). The combination of difficult terrain, insufficient health infrastructure, long distances to reach service delivery points, the frequent unavailability of a particular product or service, and insufficient and under-qualified staff severely limit utilization.

Working closely with the Cercle Health Team and in close collaboration with other local partners, the CA will increase service delivery points and providers. Innovative methods for reaching as many people in the community as possible will be developed through local NGOs, market days, religious gatherings, private sector providers (traditional and non-traditional) and other community activities. Well organized outreach from the CSCOMs supported by ASACOs will be an important way to increase coverage and reach out to communities beyond the reach of CSCOMS. Other factors such as cost, and decision making authority will also be considered as far as they influence access. The CA will also work with communities to resolve staffing shortages in their community-managed health centers.

**Illustrative Activities:**

- Assist Cercle Health Team to conduct micro-planning to increase outreach services
- Provide commodity support to the Cercle Health team, CSCOMs and community health workers to enable them to effectively conduct outreach services.
- Strengthen networks of community based distributors and expand the products they distribute to include key child survival products.
- Implement community health kits in communities that lack access to CSCOMs
- Develop “performance contracts” with all stakeholders in service delivery to define roles and responsibilities and define coverage targets.
- Work with Cercle Health team to provide basic equipment to CSCOMS and to revitalize CSCOMS where feasible and cost-effective (this does NOT include construction of new CSCOMS).
- Assist Cercle health team to implement Vitamin A distribution.
- Work with the CSCOMs, the Cercle Health Team, ASACOs and other to ensure that drugs and commodities necessary for high impact services are available in the CSCOMS.
- Conduct market research of private providers to assess the feasibility of enhancing the quality of their services
- Work with SO 9 (Accelerated Economic Growth) and their micro-finance activities to enhance access through increased household income

NOTE: The Cercle Level CA will be expected to work with the MOH to encourage them to provide outreach services to communities where the Education SO is supporting a cluster school.

***Objective 2.4 High quality services provided by health workers in the CSCOM and in the community***

The CA will continue to disseminate norms and procedures, and integrated supervision guidelines that were developed by USAID/Mali under the Youth Strategy. These tools have been introduced at the regional level and to limited degree the cercle level. The CA will work with the cercle health team to improve quality of care in the cercle through dissemination

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of norms and procedures and through supportive supervision of CSCOM staff. The CA will explore innovative ways to improve provider performance, including distance learning, on the job consultation with a supervisor or high performing counterpart in another location, or continuing education while maintaining service delivery.

**Illustrative Activities:**

- Identify and implement innovative approaches to providing competency based training for high impact services
- Develop approaches for assessing client satisfaction and appropriateness of services, both from users and non-users in the community
- Support cross-visits to other successful CSCOMS

***Objective 2.5 Strengthen the capacity of the Cercle Level Health team and ASACOs to manage CSCOM and community-based services***

The CA will work to strengthen the capacity of the cercle level health delivery system, including the Cercle Level Health Team, the ASACOs, and CSCOMS.

**Illustrative Activities:**

- Involve ASACOs in quarterly monitoring of activities and results (e.g. immunization rates, outreach activities) in their catchment areas
- Strengthen the capacity of the Cercle Health Team to work with ASACOs
- Strengthen the capacity of the Cercle Health Team to design, implement, and monitor health activities, such as micro planning and outreach activities.
- Strengthen the use of data for decision making
- Develop a training course that could be carried out by the CHT and or FERASCOM for ASACO members
- Work with other SO teams to strengthen ASACOs: Illustrative examples of synergy may be as follows:
  - Work with Shared Governance to ensure ASACOs have a democratic election process (encouraging the active participation of both genders), supported at commune level through training in good governance and management.
  - The education SO will be providing literacy training to parent teacher organizations in their interventions areas. Using materials and methods developed by education SO, the CA can provide literacy training to ASACO members. In addition, many APE members may also be members of the ASACO.
  - Economic Growth: Economic Growth will support the functioning of ASACOs by providing seed funding and training for income generating activities. Revenue generation is critical to CSCOMS for quality improvement and financial sustainability.
  - The Dev Com SO will be working with community radios in all 12 target areas. The CA should seek ways to use community radios to enable ASACOs to disseminate CSCOM quarterly health results, discuss successes and problems with their communities, and initiate dialogue on health issues. This will enhance transparency, improve level of confidence between customers and ASACOs and build ownership.

## **C.5 PROGRAM MANAGEMENT**

### **Substantial Involvement**

USAID shall be substantially involved during the performance of the Agreement(s) in the following areas:

- (i) Approval of annual work plans:
- (ii) Designation of key positions and approval of key personnel changes; and
- (iii) Approval of monitoring and evaluation plans.

## **Roles and Relationships**

Recipients will work closely with USAID and the key Malian and international implementing agencies to assure that all activities are collaboratively.

USAID plans to hold periodic meetings to coordinate activities under SO 6. The current plan is to hold monthly or quarterly meetings, as needed. The meetings would eventually be under a rotating chair and held at different partners' offices. As the group coalesces, it will also prepare and distribute minutes to record joint decisions; again, USAID proposes to serve as the initial Secretariat, but would hope to pass this role along as the forum matures. Recipients are expected to participate fully in this process.

## **Annual Work Plans**

In addition to coordination meetings mentioned above, all implementing partners will collaborate in the annual integrated planning, implementation and monitoring process to assure that local level participation in services and systems is maximized.

Applicants should include such indicative workplans in their proposals. The workplans should reflect the recipient's objectives and targets for the year and outline an indicative schedule for implementation. The workplans should include detail on the recipient's estimated level of effort, commodities to be procured, and thus budgets, for long and short-term personnel to achieve proposed targets.

The recipient should assure that all research or data collection activities under the program are coordinated with other implementing partners and other GRM or Mission entities. The recipient should collaborate closely to assure compatibility of efforts and to avoid possible redundancies.

## **Progress and Financial Reports**

The Recipient should provide progress report every six months (the second of which is an Annual Report) to document major actions taken during the reporting period. This report should reflect the structure of activities proposed in the Annual Work Plan, and should inform on progress made in achieving key activities. It should also specify any problems encountered and indicate resolutions or proposed corrective actions. The exact schedule for submission of the six-month and Annual Report will not be based on the effective date of the award. The first report is due October 31, 2003 to coincide with the USAID/Mali annual reporting cycle to USAID/Washington. USAID/Mali obviously expects it to be somewhat abbreviated in comparison to subsequent annual reports. The first semi-annual report is due April 30, 2004, covering the period of October 1, 2003 through March 31, 2004. The second Annual report is due October 31, 2004 and so on.

Annual Reports should provide a succinct presentation of Recipient achievement of results and targets in the previous year, with supporting discussion as warranted, including as necessary explanations of any shortfalls. These reports will summarize progress, provide an analysis of impact based on activities completed or in progress, and suggest resolution of any outstanding issues.

A draft of the Final Report must be provided to the USAID CTO no later than 30 days prior to the completion date of the Agreement. This report should highlight major successes achieved during the agreement period with reference to established targets, and it should also discuss any shortcomings and difficulties encountered. An additional function of this report is to outline lessons learned and make recommendations for follow-on activities.

## **Monitoring and Evaluation**

The applicant shall be responsible for undertaking the monitoring and evaluation activities described below.

**Performance Monitoring Plan**

USAID's development experience and evaluation literature indicate that projects having effective monitoring and evaluation systems achieve substantially greater impact than those lacking such systems. Furthermore, USAID/Mali is committed to ensuring that the investments have an impact on our SO level indicators.

Within 90 days of the signing of the cooperative agreement, the awardee shall submit a draft Performance Monitoring Plan for the life of the award, for review and approval by the CTO. The plan should take into consideration the structure of the award -- 36<sup>th</sup>, 48<sup>th</sup>, and 60<sup>th</sup> month markers of performance. This plan will be an update of the performance monitoring plan that is a requirement in the application. The Performance Monitoring Plan shall lay out a strategy to closely track achievement of the objectives in the cooperative agreement. The Performance Monitoring Plan shall identify baseline data requirements and propose methodologies for obtaining such data. The baseline data shall provide an empirical foundation for establishing annual and life-of-activity performance targets, which shall also be included in the Plan. Indicators addressing both activity monitoring and measurement of impact shall be included.

The awardee must ensure that to the extent possible data collected is consistent with Ministry of Health data and that to the extent practical, that performance data feeds into the Ministry of Health Health Management Information System (HMIS). Also, in order to ensure results are available for annual reporting to USAID/Washington, the data collection system needs to make data available on a FISCAL YEAR basis (Oct 1 to Sept 30) as well as a calendar year basis.

**A. Location**

To the extent possible, personnel under the cooperative agreement should be housed in Ministry of Health office space. Preliminary discussions with the Ministry of Health indicate that space is available at the regional and cercle level. Limited funds under the cooperative agreement could be used to renovate space where necessary. Potential bidders need to contact Ministry of Health personnel to determine availability of office space. Specific arrangements for office space and location should be clearly specified in the application. Evidence of commitment from partners to house CA staff should also be included.

## **SECTION IV**

### **U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**

#### **CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]**

### **PART I - CERTIFICATIONS AND ASSURANCES**

#### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

#### **2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

**(b) Certification Regarding Drug-Free Workplace Requirements**

**Alternate I**

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or



2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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**Alternate II**

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

**3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]**

**(a) Instructions for Certification**

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions**

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**4. CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the

extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### 5. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

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**RFA# 688-A-03-012**

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

## **PART II - OTHER STATEMENTS OF RECIPIENT**

### **1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

### **2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: \_\_\_\_\_

### **3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

## 4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: \_\_\_\_\_

## 5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$\_\_\_\_\_

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY UNIT COST	ESTIMATED COMPONENTS	GOODS SOURCE	PROBABLE COMPONENTS	GOODS ORIGIN
-------------------------------	-----------------------	-------------------------	-----------------	------------------------	-----------------

**RFA# 688-A-03-012**

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
-------------------------------	----------	------------------------	--------------------	--------------------	--------------

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE (Non-US Only)	SLUPPIER for NON-US	NATIONALITY	RATIONALE
-------------------------------	----------	------------------------	---------------------------	------------------------	-------------	-----------

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
---------------------------	----------	---------------------	----------	-------------

**6. PAST PERFORMANCE REFERENCES**

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

**7. TYPE OF ORGANIZATION**

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

**RFA# 688-A-03-012**

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of \_\_\_\_\_ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

**8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.



**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND  
VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES  
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

## **PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

### **NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

## IMPLEMENTATION OF E.O. 13224 – CERTIFICATION REGARDING TERRORIST FINANCING

As a condition of entering into the referenced agreement, [name of organization] hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001) (8 U.S.C. § 1182). [Name of organization] further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B)(iv)). For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

## **SECTION V – ANNEXES (REFERENCES)**

**List of Priority Communes** may be found at <http://www.usaid.org.ml> , click on “Business & Procurement,” then “Solicitations” The first MS Excel file is entitled “PRIORITY COMMUNES LIST,” the second file is entitled “Other Target Communes List”

**Other relevant referenced documents posted at the USAID/Mali mission website address cited above include, but are not limited to, the following files.**

Summary of Partners Ambassador

Nombre de CSCOMs par REGIONS et par CERCLES.v2

### **See Also:**

USAID/Mali Country Strategy Plan, Health Strategic Objective

[http://www.usaid.org.ml/cgi-bin/view\\_article.pl?id=125](http://www.usaid.org.ml/cgi-bin/view_article.pl?id=125)

<b>APPLICATION FOR FEDERAL ASSISTANCE</b>		2. DATE SUBMITTED	APPLICANT IDENTIFIER
1. TYPE OF SUBMISSION		3. DATE RECEIVED BY STATE	STATE APPLICATION IDENTIFIER
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">           Application  <input type="checkbox"/> Construction  <input type="checkbox"/> Non-Construction         </div> <div style="width: 45%;">           Preapplication  <input type="checkbox"/> Construction  <input type="checkbox"/> Non-Construction         </div> </div>		4. DATE RECEIVED BY FEDERAL AGENCY	FEDERAL IDENTIFIER
5. APPLICANT INFORMATION			
Legal Name		Organizational Unit	
Address (Street, County, State and ZIP code)		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN) <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		7. TYPE OF APPLICANT (enter appropriate letter in box)	
8. TYPE OF APPLICATION		<input type="checkbox"/> A. State <input type="checkbox"/> B. County <input type="checkbox"/> C. Municipal <input type="checkbox"/> D. Township <input type="checkbox"/> E. Interstate <input type="checkbox"/> F. Intermunicipal <input type="checkbox"/> G. Special District <input type="checkbox"/> H. Independent School Dist. <input type="checkbox"/> I. State Controlled Institution of Higher Learning <input type="checkbox"/> J. Private University <input type="checkbox"/> K. Indian Tribe <input type="checkbox"/> L. Individual <input type="checkbox"/> M. Profit Organization <input type="checkbox"/> N. Other (Specify) _____	
<input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <span style="border: 1px solid black; display: inline-block; width: 30px; height: 20px; vertical-align: middle;"></span>			
<input type="checkbox"/> A. Increase Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> E. Other (specify) _____ <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> D. Decrease Duration _____		9. NAME OF FEDERAL AGENCY	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT	
Title:			
12. AREAS AFFECTED BY PROJECT (Cities, Counties, Street, etc.)			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF	
Start Date	Ending Date	Applicant	Project
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal		a. YES. THIS PREAPPLICATION-APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____  b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant			
c. State			
d. Local			
e. Other			
f. Program Income			
g. Total		17. IS THE APPLICATION DELINQUENT ON ANY FEDERAL DEBT?	
		<input type="checkbox"/> Yes If 'Yes', attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTION FOR THE SF424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have included in their process, have been given an opportunity to review the applicant's submission.

- | Item:  | Entry: | Item:   | Entry: |
|--|--------|---|--------|
| 1. Self-explanatory.   |        | 12. List only the largest political entities affected (e.g., State, counties, cities).  |        |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).   |        | 13. Self-explanatory.   |        |
| 3. State use only (if applicable)  |        | 14. List the applicant's Congressional District and any District(s) affected by the program or project.   |        |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.   |        | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |        |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.  |        | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.   |        |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   |        | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.   |        |
| 7. Enter the appropriate letter in the space provided.   |        | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)   |        |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br><br>-- 'New' means a new assistance award.<br><br>-- 'Continuation' means an extension for an additional funding/budget period for a project with a projected completion date.<br><br>-- 'Revision' means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |        |   |        |
| 9. Name of Federal agency from which assistance is being requested with this application.  |        |   |        |
| 10. Use the Catalog of Federal Domestic Assistance Number and title of the program under which assistance is requested.  |        |   |        |
| 11. Enter a brief descriptive title of the project.<br>If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.   |        |   |        |



# BUDGET INFORMATION - Non-Construction Programs

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assist- ance Number (b)	Estimated Unobligated Funds		New or Revised Budget	
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)
1.	-				
2.	-				
3.	-				
4.	-				
5. Totals					
6. Object Class Categories		Grant Program Function or Activity			
		(1)	(2)	(3)	(4)
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (Sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (Sum of 6i and 6j)					
7. Program Income					

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Prescribed by

**BUDGET INFORMATION - Non-Construction Programs (cont'd)**

(a) Grant Program		(b) Applicant	(c) State	(d) Other Source
8.				
9.				
10.				
11.				
12. TOTAL (Sum of lines 8-11)				
	Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal				
14. Non-Federal				
15. TOTAL (Sum of lines 13 and 14)				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	
16.				
17.				
18.				
19.				
20. TOTAL (Sum of lines 16-19)				
21. Direct Charges:		22. Indirect Charges:		
23. Remarks:				

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Standard Form 424A

## INSTRUCTION FOR THE SF424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

#### Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

#### Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

#### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

#### Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

#### Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

#### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

#### Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Page 5 of 23 - Provide any other explanations or comments deemed necessary.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 14728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention. Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276z - 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 17401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED